DGS-350-1 REV. 6/78

## DEPARTMENT OF GENERAL SERVICES Records Management Division

schedule **no.** 1172

> PAGE NO. 1

## RECORDS RETENTION AND DISPOSAL SCHEDULE

Medical Care Compliance Administration - DHMH

Division of Long Term Care Long Term Care Facilities

	AG EN CY	DIVISION '	
Item No.	Description	Retention	
1	Administrative Reviews-Patient Assessment Adjustments Records consist of medical documentation and all record material pertaining to Administrative reviews.	Retain in office two years then transfer to Records Center for additional 3 years; then destroy.	
2	Utilization Control Agent File (UCA) Records consist of reports of inspections, Patient assessment and review data, budgets, contracts, in- voices, and general correspondence.	Retain in office for 2 years than transfer to Records Center for an additional 3 years; then destroy.	
3.	Complaint Record File - Records maintained in provider files and consist of complaint reports, inspection of care reports, deficiency statements, recommendations, and supporting documentation.	Records to be purged from provider files after 2 years, transferred to Records Center for an additional 3 years; then destroy.	
	Waiver Program File - Records consist of medical eligibility reviews, waiver eligibility letters, quarterly reports, and general correspondence.	Retain in office for 2 years then transfer to Records Center for an additional 3 years; then destroy.	
5	Mental Nealth/Mental Retardation (MH/MR) - Records consist of Medical Eligibility Reviews, Continued Stay Reviews on MH/MR patients as part of IMD (Institutions of Mental Disease) audit.	Retain in office 2 years then transfer to Records Center for additional 3 years; then destroy.	

Schedule Approved by Department, Agency, or Division Representative Schedule Authorized by Hall of Records Commission

8/29/88

Willard Dixon

Administrative Specialist

Title

10/10/8

Stot Archivist

Date

Signature

INSTRUCTIONS TYPE OR PRINT A	DEPARTMENT OF G	FNERAL SERVICES		
SEPARATE FORM FOR EACH NEW OR	RECORDS MANAGE		AGENCY RECORDS INVENTORY	
REVISED RECORD SERIES. FORWARD	7275 WATE	•		
		YLAND 20794	PAGE _1 OF _5	
1. DEFARTMENT/AGENCY	2. DIVISION		s. UNIT	
DHMH/MCCA	Long Term Ca	are	Long Term Care Facilities	
	OF RELATED RECOR!		AND USED AS A UNIT FOR	
4. RECORD SERIES TITLE	TO ME WELL	ENTION AND BIBPOS	5. EARLIEST YEAR/LATEST YEAR	
Administrative Reviews - Patie	ent Assessment Ad	justments	1985 <b>TO</b> 1988	
<u> </u>	<del></del>		ATION/DOCUMENTS/FORMS FOUND	
'IN	THE SERIES.	. INCLUDE THE PU	RPOSE OR FUNCTION OF THE SERIES	
Record series consist of med correspondence, appeal works				
printouts. Records also con	tain bed reserva	tion forms (DHMH	1321), and Report of	
Administrative Days in Long of appeals process.	Term Facilities	(DHMH 2129). Ser	ries functions as part	
or appears process.				
7. RECORD SERIES FORMAT(S)	8. RECORD SERIES	S SEQUENCE	9. VOLUME	
8 LETTER SIZE D MICROFILM	₩ ALPHABETIC	CAL	E FILE DRAWER(S)	
LEGAL SIZE COMPUTER TAPE	O NUMERICAL		D MICROFILM REEL(S)  20 D COMPUTER TAPE(S)	
D BOUND BOOK D FLOPPY DISK	E CHRONOLOG	ICAL	NUMBER D OTHER(SPECIFY)	
D AUDIO TAPE D VIDEO TAPE	□ GEOGRAPHICAL		10. ANNUAL ACCUMULATION	
OTHER(SPECIFY)	O OTHER (SPECIFY)		M File DRAWER(S)	
	·		O MICROFILM REEL(S) NUMBER O COMPUTER TAPE(S)	
		<del></del>	. O OTHER(SPECIFY)	
11. FILE IS USED		1	S INACTIVE AFTER	
Sk DAILY WEEKLY	D MONTHLY	NUMBER D MONTH(S) TYEAR(S)		
13. CURRENT LOCATION(S) (ELDG.,FL	.00R,R00M)	14. IS RECORD SERIES DUPLICATED ELSEWHERE?		
300 W. Preston Street, 3rd floo	or, Room 308	(IF YES, SPECIFY AGENCY OR OFFICE)		
15. ACCESS RESTRICTIONS YES	5 <sup>D</sup> NO	16 AIDIT PENIII	DEMENTS	
(IF YES, CITE LAW(S) & REGULAT		16. AUDIT REQUIREMENTS		
Subject to COMAR 10.01.08		U NONE & ST	ATE & FEDERAL   INDEPENDENT	
17. IS AN INDEX SYSTEM USED! (IF		18. RECOMMENDED RETENTION		
BRIEFLY AND DESCRIBE ANY HA	.ndmare/software)	Files to be retained in office for two		
O YES 10 NO		years then transferred to records center and disposed of after 3 years.		
•				
19. NAME AND TITLE OF PREPARER	20. TELEPHONE N	IUMBER	21. DATE	
Willard Dixon (W/D)	Willard Dixon (WA) 225-1718		8129/88	

DGS 550-4 (REVISED 2/87)

INSTRUCTIONSTYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE DGS 550-1)	RECORDS MANAGE	RLOO ROAD OX 275	AGENCY RECORDS INVENTORY  PAGE 2 OF 5
1. DEFARTMENT/AGENCY DHMH/MCCA A GROUP	2. DIVISION  Long Term Ca	are	Long Term Care Facilities  AND USED AS A UNIT FOR
		ENTION AND DISPOS	
4. RECORD SERIES TITLE Utilization Control Agent Fil			5. EARLIEST YEAR/LATEST YEAR  1980 TO 1988
Record series description (**IN**  Record series contains annual Assessment Forms (DHMH 4143), selected Admission and Contin Review Summary Data (DHMH 386 contracts, monthly invoices,	Inspection of Consideration of Considera	Care (IOC) reports of Eligibility Rev (DHMH 3872), Lond oposals, quarterly	repose or function of the series) s, corrected Patient view forms (DHMH 3871), g Term Care Utilization
7. RECORD SERIES FORMAT(S)  © LETTER SIZE D MICROFILM  LEGAL SIZE D COMPUTER TAPE  © BOUND BOOK D FLOPPY DISK  D AUDIO TAPE D VIDEO TAPE  D OTHER(SPECIFY)	8. RECORD SERIES  ALPHABETICAL  NUMERICAL  CHRONOLOG  GEOGRAPHIC  OTHER(SPEC	CAL CAL	9. VOLUME    FILE DRAWER(S)
11. FILE IS USED  R DAILY O WEEKLY	□ MONTHLY .	1	OTHER(SPECIFY)  S INACTIVE AFTER  MONTH(S) R YEAR(S)
13. CURRENT LOCATION(S) (BLDG.,FLOOR,ROOM) 300 West Preston Street, 3rd floor, Room 308		14. IS RECORD SERIES DUPLICATED ELSEWHERE?  (IF YES, SPECIFY AGENCY OR OFFICE)  D YES & NO	
15. ACCESS RESTRICTIONS YES  (IF YES, CITE LAW(S) & REGULAT  Subject to COMAR 10.01.08		16. AUDIT REQUIREMENTS  D NONE STATE SEFEDERAL D INDEPENDENT	
17. IS AN INDEX SYSTEM USED? (IF YEB.EXPLAIN BEIEFLY AND DESCRIBE ANY HARDWARE/SOFTWARE)  O YES 20 NO		Retain for	D RETENTION  two years in office then to records center and dispose years.
		ĺ	

20. TELEPHONE NUMBER

225-1718

21. DATE 8/29/88

DGS 550-4 (REVISED 2/87)

19. NAME AND TITLE OF PREPARER

Willard Dixon  $(\mathcal{W}\mathcal{D})$ 

INSTRUCTIONS TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD	DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 JESSUP, MARYLAND 20794		AGENCY RECORDS INVENTORY	
WITH RECORDS RETENTION SCHEDULE  GS 550-1)			PAGE 3 OF 5	
1. DEFARTMENT/AGENCY	2. DIVISION		3. UNIT	
DHMH/MCCA	Long Term Ca		Long Term Care - Facilities	
	OF RELATED RECORD		AND USED AS A UNIT FOR	
4. RECORD SERIES TITLE	Note that the second second		5. EARLIEST YEAR/LATEST YEAR	
Complaint Record File			<u>1981</u> <b>TO</b> <u>1988</u>	
6. RECORD SERIES DESCRIPTION (BR	IEFLY DESCRIBE TH	E TYPES OF INFORM	ATION/DOCUMENTS/FORMS FOUND	
'IN	THE SERIES.	. INCLUDE THE PU	RPOSE OR FUNCTION OF THE SETTIES	
Record series consist of Licensing & Regulation complaint reports, annual Inspection of Care reports, letters of sanctions, administrative conferences, recommendations, Deficiency Statements (DHMH 767), and supporting documentation. Records are maintained in provider files.				
	·			
·				
	·			
7. RECORD SERIES FORMAT(S)	8. RECORD SERIES SEQUENCE		9. VOLUME	
E LETTER SIZE D MICROFILM	Q ALPHABETICAL		FILE DRAWER(S)	
LEGAL SIZE D COMPUTER TAPE	O NUMERICAL		☐ MICROFILM REEL(S)  4 ☐ COMPUTER TAPE(S)	
D BOUND BOOK D FLOPPY DISK	☑ CHRONOLOG	ICAL,	NUMBER D OTHER (SPECIFY)	
D AUDIO TAPE D VIDEO TAPE	□ GEOGRAPHICAL		10. ANNUAL ACCUMULATION	
OTHER(SPECIFY)	OTHER(SPECIFY)		M FILE DRAWER(S)	
·			3 D MICROFILM REEL(S)	
			NUMBER COMPUTER TAPE(S)  O OTHER(SPECIFY)	
11. FILE IS USED			S INACTIVE AFTER	
D DAILY D WEEKLY	MONTHLY .	1 D MONTH(S) S YEAR(S)		
13. CURRENT LOCATION(S) (ELDG.,FL	oor, room)	14. IS RECORD SERIES DUPLICATED ELSEWHERE?  (IF YES, SPECIFY AGENCY OR OFFICE)  P YES NO		
300 W. Preston Street, 3rd flo	or, Room 308			
15. ACCESS RESTRICTIONS YES	·			
(IF YES, CITE LAW(S) & REGULAT		16. AUDIT REQUIREMENTS		
Subject to COMAR 10.01.08		O NONE STATE TO FEDERAL O INDEPENDENT		
17. IS AN INDEX SYSTEM USED? (IF YES.EXPLAIN BEIEFLY AND DESCRIBE ANY HARDWARE/SOFTWARE)		18. RECOMMENDED RETENTION		
		Files to be retained in office for		
YES & NO		2 years then transferred to records center and disposed after 3 years.		
		· ··· .		
10 NAME AND THE OF				
Willard Dixon W 225-1718		UMEE.H	21. DATE	
			8/29/88	

INSTRUCTIONS TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR	DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7278 WATERLOO ROAD P.O. BOX 275		AGENCY RECORDS INVENTORY	
REVISED RECORD SERIES, FORWARD				
WITH RECORDS RETENTION SCHEDULE			PAGE 4 OF 5	
DGS 550-1)	JESSUP, MAR	MLAND 20794		
1. DEFARTMENT/AGENCY	2. DIVISION		3. UNIT	
DHMH/MCCA	Long Term C	are	Long Term Care Facilities	
		DE NORMALLY FILED	AND USED AS A UNIT FOR	
4. RECORD SERIES TITLE			5. EARLIEST YEAR/LATEST YEAR	
Waiver Program File	•		<u>1986</u> <b>TO</b> <u>1988</u>	
6. RECORD SERIES DESCRIPTION (BR	IEFLY DESCRIBE THE	TYPES OF INFORM	ATION/DOCUMENTS/FORMS FOUND	
6. RECORD SERIES DESCRIPTION ("IN	THE SERIES.	, INCLUDE THE PU	RPOSE OR FUNCTION OF THE SERVES	
Record series consist of Medical Eligibility Reviews (DHMH 3871 and 387-B), notification of waiver eligibility letter (DHMH 4086), quarterly reports on waiver clients from CCHCC, and general correspondence. Waiver program monitored for compliance with appropriate federal and state regulations.				
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			•	
7. RECORD SERIES FORMAT(S)	8. RECORD SERIES	S SEQUENCE	9. VOLUME	
Ø LETTER SIZE D MICROFILM	□ ALPHAEETIC	TAL .	FILE DRAWER(S)	
LEGAL SIZE COMPUTER TAPE	□ NUMERICAL		MICROFILM REEL(S)	
D BOUND BOOK D FLOPPY DISK	CHRONOLOG		1 COMPUTER TAPE(S) NUMBER COMPUTER (SPECIFY)	
	_			
D AUDIO TAPE D VIDEO TAPE	O GEOGRAPHICAL OTHER(SPECIFY)		10. ANNUAL ACCUMULATION	
OTHER(SPECIFY)			& FILE DRAWER(S)	
		•	MICROFILM REEL(S) NUMBER D COMPUTER TAPE(S)	
			OTHER(SPECIFY)	
11. FILE IS USED		12. FILE BECOME	S INACTIVE AFTER	
DAILY D WEEKLY	MONTHLY .	NUMBER DI	WONTH(S) YEAR(S)	
13. CURRENT LOCATION(S) (ELDG.,FL	COD Provide	14. IS RECORD SERIES DUPLICATED ELSEWHERE?  (IF YES, SPECIFY AGENCY OR OFFICE)		
13. Contain Location(2) (ELDS., FL	OCH, ROOM)			
300 West Preston Street, 3rd	floor, Room 308			
15. ACCESS RESTRICTIONS YES	5 D NO			
(IF YES, CITE LAW(S) & REGULAT		16. AUDIT REQUIREMENTS		
Subject to COMAR 10.01.08		D NONE ID ST	ATE 10 FEDERAL 0 INDEPENDENT	
17. IS AN INDEX SYSTEM USED? (1)	YEG. EVEL ATM			
BRIEFLY AND DESCRIBE ANY HA		18. RECOMMENDE		
•		Retain for 2 years in office then transfer		
O YES Ø NO		3 years.	center and dispose of after	
. Jours.				
•				
19. NAME AND TITLE OF PREPARER	20. TELEPHONE N	IUMBER	21. DATE	
Willard Dixon (WA)	225-1718		8/29/88	

INSTRUCTIONS TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR	DEFARTMENT OF GE RECORDS MANAGEM	MENT DIVISION	AGENCY RECORDS INVENTORY	
REVISED RECORD SERIES, FORWARD WITH RECORDS RETENTION SCHEDULE DGS 550-1)	7278 WATERLOO ROAD P.O. BOX 275 JESSUP, MARYLAND 20794		PAGE 5 OF 5	
1. DEFARTMENT/AGENCY DHMH/MCCA	2. DIVISION Long Term Care		3. UNIT Long Term Care - Facilities	
Del III I I I I I I I I I I I I I I I I I		DE NORMALLY FILED	AND USED AS A UNIT FOR	
			5. EARLIEST YEAR/LATEST YEAR  1984 TO 1988	
6. RECORD SERIES DESCRIPTION (BRIEFLY DESCRIBE THE TYPES OF INFORMATION/DOCUMENTS/FORMS FOUND IN THE SERIES. INCLUDE THE PURPOSE OR FUNCTION OF THE SERIES!				
Record series contains Medical Eligibility Review (DHMH 3871), Continued Stay Review (DHMH 3872) on MH/MR patients as part of IMD (Institutions for Mental Disease) audit. File also contains general correspondence.				
	·			
7. RECORD SERIES FORMAT(S)	8. RECORD SERIES	S SEQUENCE	9. VOLUME	
E LETTER SIZE D MICROFILM	D ALPHABETICAL		E FILE DRAWER(S)	
LEGAL SIZE COMPUTER TAPE	□ NUMERICAL		D MICROFILM REEL(S)  COMPUTER TAPE(S)	
D BOUND BOOK D FLOPPY DISK	CHRONOLOG	ICAL	NUMBER D OTHER (SPECIFY)	
O AUDIO TAPE O VIDEO TAPE	□ GEOGRAPHICAL		ANDULA ACCIDER ATION	
O OTHER (SPECIFY)	OTHER(SPECIFY)		10. ANNUAL ACCUMULATION  E FILE DRAWER(S)	
			MICROFILM REEL(S)	
11. FILE IS USED	l	12. EUE PECOUE	S INACTIVE AFTER	
DAILY D WEEKLY	E MONTHLY .		MONTH(S) YEAR(S)	
13. CURRENT LOCATION(S) (BLDG.,FL	.00R, ROOM)		ERIES DUPLICATED ELSEWHERE?	
300 West Preston Street, 3rd	floor, Room 308	(IF YES, SPECIFY AGENCY OR OFFICE)		
15 . ACCESS RESTRICTIONS TO YES	*	16. AUDIT REQUIREMENTS		
(IF YES, CITE LAW(S) & REGULAT	rion(s)	D NONE TO STATE TO FEDERAL D INDEPENDENT		
17. IS AN INDEX SYSTEM USED? (IF		18. RECOMMENDED RETENTION		
D YES & NO		Retain in office 2 years then transfer to records center and dispose of after 3 years.		
		<u>-</u> 		
19. NAME AND TITLE OF PREPARER	20. TELEPHONE N	RUMEER	21. DATE	
Willard Dixon WD			8/29/88	

DGS 550-4 (REVISED 2/87)